

### Summary Internal Controls Assurance (SICA) Report 2021/22 and 2022/2023 (TIAA, Chris Harris)

**Synopsis of report:**

To inform Members on the progress made to date by TIAA, the Council's internal auditors, on the 2021/2022 and 2022/2023 Internal Audit Annual Plans.

**Recommendation:**

**None. This report is for information.**

**1. Context of report**

- 1.1 Attached at Appendix 'A' is the most recent Summary Internal Controls Assurance (SICA) Report, as at 2 September 2022.

**2. Report**

- 2.1 The report identifies 7 audits completed since the last meeting of this Committee. These are:
- |                             |                       |
|-----------------------------|-----------------------|
| Freedom of Information      | Substantial Assurance |
| Housing Rents               | Substantial Assurance |
| Housing Enforcement         | Substantial Assurance |
| Planning Enforcement        | Reasonable Assurance  |
| Housing Section 106 and CIL | Substantial Assurance |
| Risk Management             | Reasonable Assurance  |
| Business Continuity         | Substantial Assurance |
- 2.2 Fieldwork is in progress for 8 audits from the 2022/2023 plan. There are 6 draft reports waiting to be finalised from the 2021/2022 audit plan and TIAA's Audit Director will provide a verbal update at the meeting.
- 2.3 Members will be pleased to learn that the deferred audit on HR Absence Management is now in progress.
- 2.4 Five client briefing notes have been issued by TIAA since the last report to this Committee, which can be circulated separately, on request.

**3. Resource implications**

- 3.1 The audit service is budgeted for in the Council's annual budgets, with a small contingency to cover unforeseen audits.

**4. Legal and Equality implications**

- 4.1 None.

**(For information)**

**Background papers**

Relevant Internal Audit working files and reports